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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

WAP20RREC/PCT/PTO 29 MAR 2006

PATENT COOPERATION TREATY
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Applicant: Akinobu Sato, et al.

U.S. National Stage Application of
International Application No. PCT/JP2004/014275

International Filing Date: September 29, 2004

Attorney Docket No. NAA237

Title: Solid surface smoothing
method and apparatus therefor

March 29, 2006
San Francisco, California

Mail Stop PCT
Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to the duty of disclosure set forth in 37 CFR § 1.56, Applicants respectfully submit the following information disclosure statement.

The disclosed references are:

JP-2004-253437, Japanese Patent Office, published 09/09/2004, with its English abstract.

JP-2003-188156, Japanese Patent Office, published 07/04/2003, with its English abstract.

JP-2003-505867, Japanese Patent Office, published 2/12/2003, with its counterpart US application US 6,375,790 described below.

JP-2001-284252, Japanese Patent Office, published 10/12/01, with its English abstract.

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JP-02-000316, Japanese Patent Office, published 01/05/1990, with its English abstract.

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PCT Application Publication No. WO-01/048794 dated 07/05/2001.

JP-07-058089, Japanese Patent Office, published 03/03/1995, with its English abstract.

JP-08-120470, Japanese Patent Office, published 05/14/1996, with its English abstract.

JP-08-293483, Japanese Patent Office, published 11/05/1996, with its English abstract.

Toyoda, et al., "Ultra-Smooth Surface Preparation Using Gas Cluster Ion Beams," Japanese Journal of Applied Physics, Vol. 41 (2002), pp. 4287-4290.

Yamada, et al., Materials Science and Engineering, R34 (2001), pp. 231-295.

Toyoda, et al., "Surface smoothing mechanism of gas cluster ion beams," Nuclear Instruments and Methods in Physics Research B 161-163 (2000) 980-985.

A thirteenth reference, US patent 6,375,790 B1, Fenner, issued 04-23-02, filed 10-5-99, is also being submitted because it is believed to be a counterpart to JP-2003-505867 and may serve as a translation thereof.

Applicants respectfully request that the Examiner initial the cited references shown on the enclosed form PTO-1449 and that the references be made of record in the present application.

Respectfully submitted,



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Certificate of Mailing Under 37 CFR 1.10

I certify that this Information Disclosure Statement and any enclosed materials are being deposited with the United States Postal Service on March 29, 2006 as "Express Mail," mailing label EV 539509739 US in an envelope addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Jean C. Reed

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Cited references (13)
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SHEET 1 OF 1

Substitute Form PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		DOCKET NAA237	SIN 101573942		
INFORMATION DISCLOSURE STATEMENT		APPLICANT Akinobu Sato, et al.					
		FILING DATE		GROUP			
U.S. PATENT DOCUMENTS							
*Exam. Initial	Cite No.	DOCUMENT NUMBER Number - Kind Code	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT			FILING DATE
		US-6,375,790 B1	04-23-02	Fenner			10 5 99
		US-					
		US-					
		US-					
		US-					
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		US-					
		US-					
		US-					
FOREIGN PATENT DOCUMENTS							
*Exam. Initial	Cite No.	DOCUMENT NUMBER Number - Kind Code	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT			TRANSLATION YES NO
		JP-2004-253437	09/09/2004	JAPAN, with its English abstract			<input type="checkbox"/> X
		JP-2003-188156	07/04/2003	JAPAN, with its English abstract			<input type="checkbox"/> X
		JP-2003-505867	2/12/2003	JAPAN			<input type="checkbox"/> X
		JP-2001-284252	10/12/01	JAPAN, with its English abstract			<input type="checkbox"/> X
		JP-02-000316	01/05/1990	JAPAN, with its English abstract			<input type="checkbox"/> X
		WO-01/048794	07/05/2001	PCT			
		JP-07-058089	03/03/1995	JAPAN, with its English abstract			<input type="checkbox"/> X
		JP-08-120470	05/14/1996	JAPAN, with its English abstract			<input type="checkbox"/> X
		JP-08-293483	11/05/1996	JAPAN, with its English abstract			<input type="checkbox"/> X
NON-PATENT LITERATURE DOCUMENTS							
*Exam. Initial	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					TRANSLATION YES NO
		Toyoda, et al., "Ultra-Smooth Surface Preparation Using Gas Cluster Ion Beams," Japanese Journal of Applied Physics, Vol. 41 (2002), pp. 4287-4290.					
		Yamada, et al., Materials Science and Engineering, R34 (2001), pp. 231-295.					
		Toyoda, et al., "Surface smoothing mechanism of gas cluster ion beams," Nuclear Instruments and Methods in Physics Research B 161-163 (2000) 980-985.					
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP; draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.							